



中国合格评定国家认可委员会



## 有机产品认证机构认可约束

Accreditation Management on CB Certifying Organic Product

中国合格评定国家认可委员会(CNAS)  
2012-05



中国合格评定国家认可委员会



## 中国认证认可监管体系

Certification and Accreditation Administration Supervision  
System in China

法律规范  
行政监管  
认可约束  
行业自律  
社会监督

五位一体



## 关于 CNAS

### About CNAS

1. 认可体系集中统一— Centralization of accreditation system
2. CNAS的组织机构 —Structure of CNAS management
3. CNAS的认可现状 —Actuality of CNAS
4. 认可约束的方式 — Methods of Accreditation Management
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### 1. 认可体系集中统一 Centralization of accreditation system





# 中国合格评定国家认可委员会



## 1 认可体系集中统一 Centralization of accreditation system



政府授权 Authorized by government  
CNAS于2006年3月31日重新整合成立

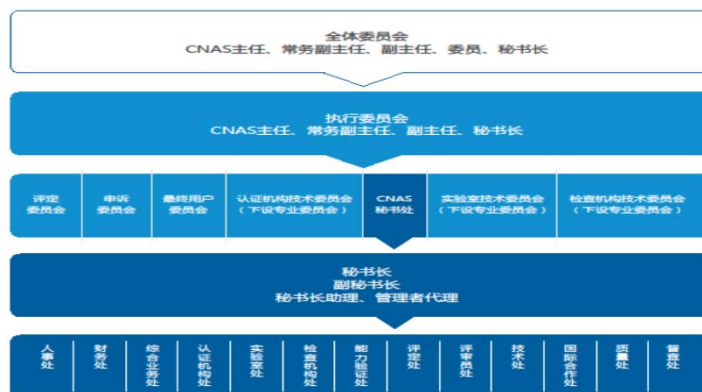


# 中国合格评定国家认可委员会



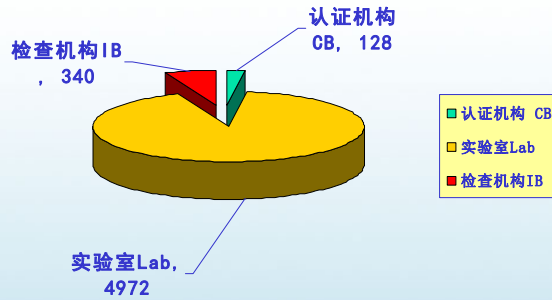
## 2. CNAS组织机构 Structure of CNAS management

中国合格评定国家认可委员会 (CNAS) 组织机构图





### 3. CNAS的认可现状 Actuality of CNAS



CNAS认可的各类机构分布图（截至2012年4月30日）

Distribution chart of different types of bodies accredited by CNAS (as of 30 Apr. 2012)



#### ■ 3.1 CNAS认可的认证机构（截至2012年1月底）

■ CBs accredited by CNAS (as of Jan. 2012) [1]

认可领域 Accreditation fields	认可的机构数量 Number of Accredited CBs	业务范围类型 Number of accredited scopes	分支机构 Number of CB's critical locations
1 质量管理体系认证 QMS certification	86	2147	106
TL9000认证 TL9000 certification	5	19	
2 环境管理体系认证 EMS certification	80	1794	47
3 职业健康安全管理体系认证 OHSMS certification	78	1956	36
4 食品安全管理体系（FSMS）认证 FSMS certification	29	120	14
5 信息安全管理体系（ISMS）认证 ISMS certification	5	18	



### ■ 3.1 CNAS认可的认证机构（截至2012年4月30日）

CBs accredited by CNAS (as of Apr. 2012) [2]

认可领域 Accreditation fields		认可的机构数量 Number of Accredited CBs	业务范围类型 Number of accredited scopes	分支机构 Number of CB's critical locations
6 其中 incl.	产品认证 certification	72	1840	12
	常规产品认证 Regular Product certification	35	1737	12
	服务认证 service certification	2	2	
	良好农业规范（GAP）认证 GAP certification	14	45	
	有机产品认证 Organic certification	21	56	
7	软件过程及能力成熟度评估（SPCA） SPCA certification	3	5	
8	人员认证 Personnel Certification	1	2	
认证机构总计 : 128 Total No. of accredited CBs: 128		合计：415 Total: 415	合计：8593 Total: 8593	合计：216 Total: 216



### ■ 3.1 CNAS认可的认证机构（截至2011年12月底）

CBs accredited by CNAS (as of Dec. 2011) [3]

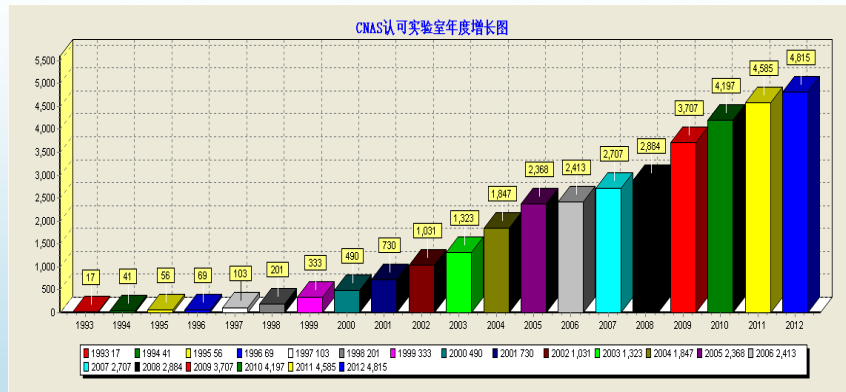
认证证书统计信息（截至2011年12月31日）  
Statistic Information on Certificates (as of 31 Dec. 2011)

质量管理体系	QMS	203,899
环境管理体系	EMS	49,456
职业健康安全管理体系	OHSMS	31,354
食品安全管理体系	FSMS	4,769
软件过程及能力成熟度评估	SPCA	20
信息安全	ISMS	631
自愿性产品	Voluntary product	9,271 (组织数 Number of organizations: 2,998)
强制性产品	Compulsory product	299,794 (组织数 Number of organizations: 45,724)
有机产品	Organic product	4,810 (组织数 Number of organizations: 4,103)
良好农业规范	GAP	339 (组织数 Number of organizations: 333)



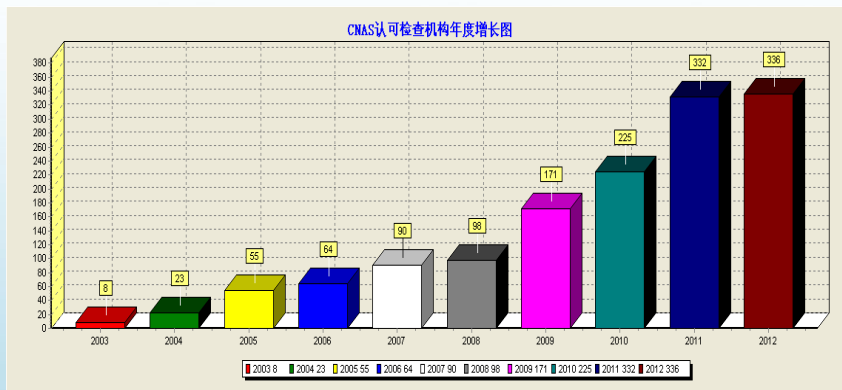
3.2 CNAS认可的实验室（截至2012年1月31日）  
Labs accredited by CNAS (as of 31 Jan. 2012) [1]

CNAS认可的检测和校准实验室年度增长图  
Annual Growth Chart of Number of Testing and Calibration Labs Accredited by CNAS



3.3 CNAS认可的检查机构（截至2012年1月31日）  
IBs Accredited by CNAS (up to 31 Jan. 2012) [1]

CNAS认可检查机构年度增长图  
Annual Growth Chart of Number of IBs accredited by CNAS





#### 4. 认可约束的方式 Methods of restriction for accreditation

- 对认证机构的年度监督检查和复评审 ( 例行 )

Annual monitoring and re-certification to certification bodies.(General)

- 对认证机构的专项监督检查 ( 非例行 )

Special surveillance to certification bodies. (Extraordinary)

- 对获证组织的确认审核 ( 非例行 )

Validation audit to certified organizations. (Extraordinary)

- 认证机构认可风险控制(分级管理)

Risk management of accreditation to certification bodies. (Graded management)

- 获证组织的信息月报，包括每次初审、监督、暂停、撤销和证书转换的信息

The monthly report of certified organization, which includes assessment, supervision, suspension, cancellation and exchange of certification information.



#### 5. 有机产品认可

##### 5.1 依据

- 法律法规文件 applicable documents of laws and regulations

1、《有机产品管理办法》 Management measures of organic product

2、《有机产品认证实施规则》 Implementation rules for organic products

- 认证标准：GB/T19630.1~19630.4-2011 《有机产品》  
Certification standards GB/T19630.1~19630.4-2011  
Organic Products



■ 认可依据 The organic product scheme accreditation against the following

— 认可规则（R系列）：CNAS 实施认可活动的政策和程序，包括通用规则和专项规则类文件。

Accreditation rules (R series) : The policies and procedures that CNAS conducts accreditation, including general rules and special rules

— 认可准则（C系列）：CNAS 认可的合格评定机构应满足的基本要求。

CNAS-RC01：2010《认证机构认可规则》等

CNAS-RC01: 2010 Accreditation Rules for Certification Bodies and other accreditation criteria (C series): general requirement which the Conformity Assessment Bodies accredited by CNAS shall meet.



CNAS — CC21：2006《产品认证机构通用要求》  
(GB/T 27065:2004/ISO/IEC Guide 65:1996)

CNAS-CC22：2007《〈产品认证机构通用要求〉应用指南》  
(IAF GD5：2006)

General requirements for bodies operating product certification systems  
(identical to GB/T 27065:2004/ISO/IEC Guide 65:1996 )

Application Guidance to General requirements for bodies operating product certification systems (identical to IAF GD5: 2006)





一认可方案（S系列）：是CNAS针对特别领域或行业对上述认可规则、认可准则和认可指南的补充。

Accreditation scheme(S series):

Supplement documents as accreditation rules, accreditation criteria and accreditation guidance about special field or industry

CNAS-SC22: 2009《实施有机产品认证的认证机构认可方案》

Accreditation scheme for certification bodies operating organic products



### 有机产品标准的主要变化

#### The change in organic product standard

新版《有机产品》国家标准总计修改161处。其中第1部分（生产）修改91处；第2部分（加工）修改48处，第三部分（标识与销售）修改14处，第四部分（管理体系）修改8处。

In <Organic product> new edition, in 161 places have been modified, including 91 corrections in Section 1 (production), 48 corrections in Section 2 (processing), 14 corrections in Section 3 (mark and sale), and 8 corrections in Section 4 (management system).

主要修订考虑: Major concerns are:

- 1.与欧盟、美国等国家或地区有机产品认证法规和标准接轨，如转换期规定、投入物质列表  
1. In consistence with standard of organic product in EU, US etc. e.g. on conversion rules, list of substance input.
- 2.充分考虑了我国国情，如人粪尿的使用  
2. Substantial consideration of China situation, e.g. excrement of human.
- 3.标准对于有机生产的要求更为严格，如一年生作物不允许平行生产、产地环境要求  
3. More strict requirement for standard of organic product. e.g.



### 新版实施规则文件的主要变化——结构

- 1. 目的 Objective
- 2. 适用范围 Scope
- 3. 依据标准 References
- 4. 认证程序 Processing of certification
- 5. 认证后的管理 Management after certification
- 6. 认证证书、标志和标识 Certificate, mark and identification
- 7. 认证收费 Payment

- 1. 目的、范围 Objective, scope
- 2. [认证机构要求 Requirement of CB](#)
- 3. [认证人员要求 Requirement of auditor](#)
- 4. 认证依据 References
- 5. 认证程序 Processing of certification
- 6. 认证后管理 Management after certification
- 7. [再认证 Re-certification](#)
- 8. 认证证书、认证标志的管理 Management of certificate and mark
- 9. [信息报告 Information report](#)
- 10. 认证收费 Payment
- 附件1: 有机产品认证证书格式 Format of organic product certificate
- 附件2: 有机转换产品认证证书格式 Format of organic product certificate transformation
- 附件3: [有机产品认证证书格式 Format of organic product certificate](#)
- 附件4: [有机产品认证证书编码规则 Rules of code in organic product certificate](#)
- 附件5: [国家有机产品认证标志编码规则 Rules of code in national organic product certification mark](#)



### 新版规则文件的主要变化——内容 Changes in new edited document - Content

- “**严**”,体现在: “strict” represents in:
  - 认证检查全方位、全覆盖 Variety and wide coverage
  - 提出认证目录制度 Institution of catalogue certified
  - 投入品批准制度 Institution of input approved
  - 提出监管要求 Requirement of monitoring
  - 提出“再认证”的要求 Requirement of re-certification
  - 增加“销售证”的要求 Requirement of transaction certificate
  - 增加标志、编码的可追溯性的规定 Rules of original mark and code
  - 增加信息报告制度 institution of information report
  - 引入风险分析及风险管理概念 concept of risk management brought



### 5.2 有机产品认可现状

认可领域 Accreditation fields	认可的机构数量 No. of Accredited CBs	业务范围类型 No. of accredited scopes	分支机构 No. of CB's critical locations
有机产品认证Organic certification	21	56	

认证领域	发证数量
有机产品 Organic product	4,810 (组织数 Number of organizations: 4,103)



### 5.3 2012年 有机产品认证机构认可政策调整思路 Changes to policies on accreditation of organic product CB in 2012

#### 一、受理和策划阶段 Acceptance and Planning

- 1、按照国家认监委发布的《有机产品认证目录》重新调整了有机产品认证认可的范围。CNAS从2012年3月1日起执行新要求。(如蜜蜂养殖及蜂产品) <catalog of organic product certification>, was published by CNCA, adjusted scope in both certification and accreditation. This has been implementing on 1<sup>st</sup> Mar 2012. (Bee feed and honey)
- 2、关注2011年专项检查的结果并将相关问题作为例行评审输入While conducting assessments, take result of last special assessment in 2011 as input
- 3、考虑到有机认可的高风险性，CNAS需根据机构的实际情况适当增加评审抽样量及见证评审的频次要求等。High level of risk in organic accreditation must be considered. CNAS decides increase in frequency and samples of assessment, due to operation of bodies.



### 5.3 2012年 有机产品认证机构认可政策调整思路 Changes to policies on accreditation of organic product CB in 2012

二、评审阶段:强调评审关注重点: Assessment: focus on issues:

- 1) 对获证企业认证证书和标志的使用和控制,特别是标志使用数量的核查;  
apply and control of certificate and mark, especially the numbers of marks;
- 2) 对农业投入品的使用和控制; apply and control of agricultural input;
- 3) 检查组的配备composition of inspection group;
- 4) 产量核算,产量与销售量的汇总核算; output balance, calculation of output and sales volume;
- 5) 产品检测项目的确定,在证书有效期内对所有产品进行检测的情况;  
confirmation of testing items, and circumstances of testing on every product in the validity term of certificate.



### 5.3 2012年 有机产品认证机构认可政策调整思路 Changes to policies on accreditation of organic product CB in 2012

二、评审阶段:强调评审关注重点: Assessment: focus on issues:

- 6) 现场检查中对所有生产活动范围包括对所有地块检查、农户访谈、二次加工、分割、分装现场以及非有机生产部分的检查; field inspection includes all scope of activities, it contains land check, interview with famers, second manufacture, division, packing and all parts about non-organic product.
- 7) 现场检查时机的确定; confirmation of time in on site inspection
- 8) 例行监督检查和不通知检查,检查频次满足《有机产品认证实施规则》等相关要求的情况; general inspection and inspection without notification, frequency satisfies <Implementation rule of organic product certification> and related issues
- 9) 是否有超范围认证的情况whether carry out certification outside its scope



### 5.3 2012年 有机产品认证机构认可政策调整思路 Changes to policies on accreditation of organic product CB in 2012

#### 三、评定阶段 Appraisal

严把评审质量关，对于评审组发现问题但未按相关要求处理的应进行核实确认并采取后续措施 Ensure assessment quality.

#### 四、评审员培训 Training of assessors

CNAS需加大对有机产品评审员培训工作，进一步明确有机产品认证机构认可的相关要求，同时加强专业知识培训，提高评审员专业水平及认可的一致性。 Enhance training, improve the consistency and personal skills

#### 五、改进 Improvement

根据新版有机产品管理办法和实施规则要求对认可制度进行评估，必要时进行改进。 Institution of accreditation due to organic product management and rules new edited has been evaluated, this must be enhanced if necessary.



### 5.4 加强认可约束 Reinforcement in restriction for accreditation

#### 2011年

##### CNAS专项监督检查（非例行）

CNAS special surveillance (extraordinary)

对14家食品农产品认证机构、27家或正组织实施了专项监督检查，对169份报告进行了抽样

CNAS carried out special surveillance to 14 food and agricultural product certification bodies, 27 certified organizations and 169 testing samples from Nov. to Dec. in 2011.



#### 5.4 加强认可约束 Reinforcement in restriction for accreditation

2011年

- CNAS投入专项经费18万元

CNAS invests special fund

- 共派出21个检查组投入119人日

21 Inspection groups and 119 p/day

- 现场检查累积抽查认证审核档案246份，抽查认证人员430人次

246 files have been audited, 430 p/time inspectors have been audited



#### 5.4 加强认可约束

Reinforcement in restriction for accreditation

2011年

问题的处理 Solutions on issues

- (一) 针对专项监督检查发现的问题，要求认证机构限期进行深度整改，整改不满足要求的暂停认证认可资格。When issues has been discovered during following up, CB is required to take corrective actions. If it is not satisfied, qualification must be suspended.

- (二) 对于4家检查员数量不能满足要求的认证机构。缩小相应认可范围。There are 4 CB whose inspectors are not enough, their scope has been reduced.

- (三) 对1家超出行政审批范围颁发认证证书且，及未在规定时间内获得认可的认证机构，进行书面告诫，并要求限期整改。1 over administrative scope CB, which has not been accredited in time, is warned.



中国合格评定国家认可委员会



2012

## 受国家认监委委托，与行政监管全面配合

CNAS is authorized by and cooperated with CNCA to:

拟对**20**家认证机构实施专项监督。

Special surveillance to **20** CB

对**40**家获证组织实施现场检查

Field inspection to **40** certified organizations

涉及有机产品、HACCP、FSMS、GAP、无公害农产品等领域

involve in organic product, HACCP, FSMS, GAP, pollution-free agricultural product, etc.



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[www.cnas.org.cn](http://www.cnas.org.cn)

Please visit CNAS website for more information

[www.cnas.org.cn](http://www.cnas.org.cn)



中国合格评定国家认可委员会



共同携手 促进有机事业发展！



中国合格评定国家认可委员会



Thank You !